STIC Database Tracking Number: 256765

To: HARISH DASS Location: KNX-5A61 Art Unit: 3692 Wednesday, October 10, 2007 Case Serial Number: 09/890815	From: PAUL OBINIYI Location: EIC3600 KNX-4B68 / KNX-4C25 Phone: (571)272-7734 paul.obiniyi@uspto.gov

Search Notes

Dear Examiner DASS:

Attached please find the results of your search. Please feel free to contact me if you have additional questions or would like a re-focus search. Thank you and have a great day.

Paul

STIC EIC 3600
Fast & Focused Search Request

Today's Date:	Class/Subclass	What date would you like to use to limit the search?
10/9/07	705/	Priority Date: 11/3/1999 Other:

Name __HARISH DASS__

AU _____ Examiner # _____

Room # _____ Phone _____

Serial # __09/890,815__

Format for Search Results (Circle One):

PAPER   DISK   EMAIL

Where have you searched so far?

USP DWPI EPO JPO ACM IBM TDB

IEEE INSPEC SPI   Other _____

A "Fast & Focused" Search is completed in 2-3 hours (maximum). The search must be on a very specific topic and meet certain criteria. The criteria are posted in EIC3600 and on the EIC3600 NPL Web Page at http://ptoweb/patents/stic/stic-tc3600.htm.

What is the topic, novelty, motivation, utility, or other specific details defining the desired focus of this search? Please include the concepts, synonyms, keywords, acronyms, definitions, strategies, and anything else that helps to describe the topic. Please attach a copy of the abstract, background, brief summary, pertinent claims and any citations of relevant art you have found.

①   a   ✓

②   b

STIC Searcher _Paul Comiyi_   Phone _20734_

Date picked up _10/9/07_   Date Completed _10/10/07_

AMENDMENTS TO THE CLAIMS

1. (Currently Amended) A method for facilitating the ~~mutual exchange of securities~~ and cash, comprising:

receiving a plurality of first indications of offers to lend a security from respective lenders, each of the offers to lend a security indicating a corresponding quantity of the security and a corresponding fee;

receiving a plurality of second indications of offers to borrow the security from respective borrowers, each of the offers to borrow the security indicating a corresponding quantity of the security and a corresponding fee;

matching one of the offers from one ~~lender~~ of the lenders with one of the offers from one ~~borrowers~~ of the borrowers based on the corresponding quantity and the fee; and
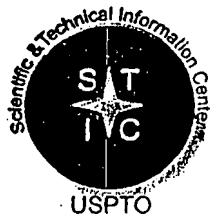
sending ~~respective notifications~~ a notification of a transaction between the one lenders and the one borrower based on the matched offer.

2. (Original) The method of claims 1, further comprising recording the transaction in a database electronically accessible to a plurality of borrowers and lenders over at least one computer network and least one computer.

3. (Currently Amended) A computer system comprising a memory and one or more processors, configured to perform the steps of:

STIC Search Results
Feedback Form

EIC 3600

Questions about the scope or the results of the search? Contact *the EIC searcher or contact*:

Karen Lehman, EIC 3600 Team Leader
KNX 4A58, 571-271-3496

Voluntary Results Feedback Form

➢ *I am an examiner in Workgroup:* [   ]   *Example: 3620 (optional)*

➢ *Relevant prior art **found**, search results used as follows:*

- ☐ 102 rejection
- ☐ 103 rejection
- ☐ Cited as being of interest.
- ☐ Helped examiner better understand the invention.
- ☐ Helped examiner better understand the state of the art in their technology.

Types of relevant prior art found:

- ☐ Foreign Patent(s)
- ☐ Non-Patent Literature
  (journal articles, conference proceedings, new product announcements etc.)

➢ *Relevant prior art **not found:***

- ☐ Results verified the lack of relevant prior art (helped determine patentability).
- ☐ Results were not useful in determining patentability or understanding the invention.

Comments:

sira
Search and Information
Resources Administration

R CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S5   3026104   S (REVENUE? ? OR FEE? ? OR PAYMENT? ? OR COST? ? OR PRICE? ? OR CHARGE? ?)(3N)(MATCH?? OR CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S6   2322895   S (NOTIFICATION OR NOTIFY OR NOTIFYING OR ANNOUNC? OR ALERT??? OR ADVIS??? OR INFORM??? OR POST??? OR REPORT???)(7N)(SUBMITTING OR SUBMIT OR SEND OR SENDING OR TRANSFER OR TRANSFERRING OR FORWARD OR FORWARDING OR PASS OR PASSING OR TRANSMIT OR TRANSMITTING OR COMMUNICATE OR COMMUNICATING OR EXCHANG?)
S7   4533   S MUTUAL(3N)EXCHANGE(3N)SECURIT???
S8   163   S AU=(LOCKWOOD, D? OR LOCKWOOD D? OR LOCKWOOD(2N)DAVID)
S9   4   S S8 AND S1
S10   112606   S S1(7N)S2
S11   3108   S S10(7N)S3
S12   62   S S11(7N)S4
S13   4   S S12(7N)S5
S14   3   S S13 NOT S9
S15   0   S S12(7N)S6
S16   0   S S12(7N)S7
S17   19   S S12 NOT PY>1999
S18   18   S S17 NOT (S9 OR S13)

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Set      Items     Description
S1    4147427    S (OFFER? ? OR PROGRAM? OR SALE? ? OR QUOTE? ? OR BID? ?)(7N)(MATCH?? OR
CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR
JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR
INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S2   16159017    S (CREDITOR? ? OR LENDER? ? OR CREDIT(2N)EXTEND??? OR BANK? ? OR
(FINANCIAL OR CREDIT OR CLEARING)()(INSTITUTION? ? OR ENTITY OR ENTITIES OR HOUSE? ?) OR
CLEARINGHOUSE? OR LOAN???)
S3    5650486    S BORROW? OR LOAN(3N)(RECEIV?? ? OR ACCEPT?) OR DEBT OR (MONEY OR MONIES
OR CAPITAL OR LIQUIDI?)(3N)BORROW???
S4    1130028    S (AMOUNT OR VALUE OR QUANTITY)(7N)(MATCH?? OR CORRESPOND? OR CORRELAT???
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Set      Items    Description
S1       291010   S (OFFER? ? OR PROGRAM? OR SALE? ? OR QUOTE? ? OR BID? ?)(7N)(MATCH?? OR
CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR
JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR
INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S2       638886   S (CREDITOR? ? OR LENDER? ? OR CREDIT(2N)EXTEND??? OR BANK? ? OR
(FINANCIAL OR CREDIT OR CLEARING)()(INSTITUTION? ? OR ENTITY OR ENTITIES OR HOUSE? ?) OR
CLEARINGHOUSE? OR LOAN???)
S3       188297   S BORROW? OR LOAN(3N)(RECEIV?? ? OR ACCEPT?) OR DEBT OR (MONEY OR MONIES
OR CAPITAL OR LIQUIDI?)(3N)BORROW???
S4       443280   S (AMOUNT OR VALUE OR QUANTITY)(7N)(MATCH?? OR CORRESPOND? OR CORRELAT???
OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR
RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR
INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S5       301971   S (REVENUE? ? OR FEE? ? OR PAYMENT? ? OR COST? ? OR PRICE? ? OR CHARGE?
?)(3N)(MATCH?? OR CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR
LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR
INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR
ASSOCIATION? OR RELAT???)
S6       61650    S (NOTIFICATION OR NOTIFY OR NOTIFYING OR ANNOUNC? OR ALERT??? OR ADVIS???
OR INFORM??? OR POST??? OR REPORT???)(7N)(SUBMITTING OR SUBMIT OR SEND OR SENDING OR
TRANSFER OR TRANSFERRING OR FORWARD OR FORWARDING OR PASS OR PASSING OR TRANSMIT OR
TRANSMITTING OR COMMUNICATE OR COMMUNICATING OR EXCHANG?)
S7       185      S MUTUAL(3N)EXCHANGE(3N)SECURIT???
S8       2233     S AU=( LOCKWOOD, D? OR LOCKWOOD D? OR LOCKWOOD(2N)DAVID)
S9       1        S S8 AND S1
S10      5742     S S1 AND S2
S11      529      S S10 AND S3
S12      26       S S11 AND S4
S13      2        S S12 NOT PY>1999
S14      2        S S13 NOT S9
S15      40       S S11 AND S5
S16      25       RD S15   (unique items)
S17      15       S S15 NOT S16
S18      15       IDPAT S17  (sorted in duplicate/non-duplicate order) FROM 344,  347,  350,
371
S19      15       IDPAT S17  (primary/non-duplicate records only) FROM 344,  347,  350,  371
S20      13       S S7 AND S6
S21      1        S S20 AND S1
S22      0        S S21 NOT S9
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